

In the United States Patent and Trademark Office

#2
10-29-01
SMJ1017 U.S. PTO
09/839476
04/20/01

Application No.: Not assigned
 Filed: Filed herewith
 Title: System and methods for recognizing sound and music in high noise and distortion
 Applicant(s): Avery Li-Chun Wang et al.
 Examiner: Not assigned
 Art Unit: Not assigned

Mailed April 20, 2001
 Santa Clara, CA

Information Disclosure Statement

Commissioner of Patents and Trademarks
 Washington, District of Columbia 20231

Dear Sir or Madam:

Attached is a completed Form PTO-1449 and copies of the pertinent parts of the references cited thereon.
 It is requested that the document(s) on the enclosed form be made of record.

Part I (Authority)

This statement is filed pursuant to:

(X) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

() 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$240), or a certification according to 37 C.F.R. § 1.97(e).

() 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires the petition fee specified in 37 C.F.R. § 1.17(i)(1) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$130), a certification according to 37 C.F.R. § 1.97(e), and a petition requesting consideration of the information disclosure statement.

Conditional Petition

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

Part II (Payment)

A check is enclosed as indicated:

- ☒ (X) No fee is due.
- ☐ () The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$240).
- ☐ () The petition fee specified in 37 C.F.R. § 1.17(i)(1) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) is enclosed (\$130).

Part III (Certification)

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ☒ (X) No certification is necessary.
- ☐ ()
 - (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
 - ☐ () The "communication from a foreign patent office" referred to in the certification is an International Search Report, possibly issued by the U.S. Patent and Trademark Office in its capacity as an International Search Authority or International Preliminary Examining Authority.
 - ☐ () The "counterpart foreign application" referred to in the certification corresponds to an ancestor or descendent application of the application for which this information disclosure statement is filed.
- ☐ ()
 - (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

Part IV (Additional Statement)

An additional statement regarding these items of information ☐ () is, ☒ (X) is not, enclosed.

Copies of the cited art ☒ (X) are enclosed, ☐ () are of record in parent application Serial No. _____ and will be provided if the Examiner deems it convenient.

Respectfully submitted,

Dated: April 20, 2001



Rena Kaminsky
Reg. No. 46,818
45 Cabot Ave., Suite 110
Santa Clara, CA 95051
tel: (408) 260-7300
fax: (408) 260-7301

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE										ATTY. DOCKET NO. SHZ-101		SERIAL NO. Not assigned	
LIST OF PRIOR ART CITED BY APPLICANT (Use several sheets if necessary)										APPLICANT Avery Li-Chun Wang et al.			
										FILING DATE Filed herewith		GROUP Not assigned	
U.S. PATENT DOCUMENTS													
EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A	5	2	1	0	8	2	0	5/11/93	Kenyon	395	2	5/2/90
	B	4	4	5	0	5	3	1	5/22/84	Kenyon et al.	364	604	9/10/82
	C	4	8	4	3	5	6	2	6/27/89	Kenyon et al.	364	487	6/24/87
	D	5	9	1	8	2	2	3	6/29/99	Blum et al.	707	1	7/21/97
	E												
	F												
	G												
	H												
FOREIGN PATENT DOCUMENTS													
		DOCUMENT NUMBER							ISSUE DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	I												
	J												
	K												
OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)													
	L	J. T. Foote, "An Overview of Audio Information Retrieval." In ACM-Springer Multimedia Systems, Vol. 7 No. 1, pp. 2-11, ACM Press/Springer-Verlag, January 1999											
	M	J. T. Foote, "Content-Based Retrieval of Music and Audio." In C.-C. J. Kuo et al., editor, Multimedia Storage and Archiving Systems II, Proc. Of SPIE, Vol. 3229, pp. 138-147, 1997											
	N	M. G. Brown, J. T. Foote, G. J. F. Jones, K. Sparck Jones, and S. J. Young, "Automatic Content-Based Retrieval of Broadcast News." In Proc. ACM Multimedia 95, San Francisco, November 1995.											
	O	Udi Manber, "Finding Similar Files in a Large File System." October 1993, Department of Computer Science, The University of Arizona, Tucson Arizona 85721											
EXAMINER										DATE CONSIDERED			
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.													

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